

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Joseph W. Doane et al.

Docket No. KD-01-004US

Continuation of
Serial No.: PCT/US01/14842

Group Art Unit: Unknown

Filed: September 24, 2001

Examiner: Unknown

For: **CHIRAL ADDITIVES FOR CHOLESTERIC DISPLAYS**

PRELIMINARY AMENDMENT UNDER 37 C.F.R. §1.111

Honorable Assistant Commissioner
for Patents
Washington, D.C. 20231

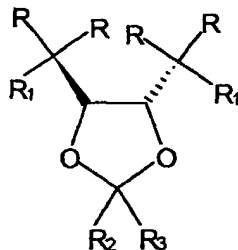
Sir:

Prior to examination of the above-identified application on the merits, please amend the application as follows:

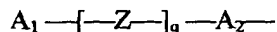
IN THE CLAIMS:

Please CANCEL claims 1-17 without disclaimer of or prejudice to the subject matter thereof and INSERT claims 18-44 as follows:

--18. An optically active compound of the formula:

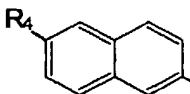


where the R_2 and R_3 groups are methyl, another lower alkyl group or an aryl or biaryl unit while the R_1 groups independently each are a hydroxyl, alkoxyl, aryloxy, or arylalkoxy group, the R groups each represent a group as follows:

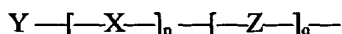


where A_1 is an aromatic group, an acyclic aliphatic group, or an alicyclic group, and A_1 can be a substituted or unsubstituted group, Z is a group selected from -O-, -OCO-, or -S-, and the coefficient q is 0 or 1. Z may also be $(CH_2)_nO$ where the coefficient n is 0 to 5 and the coefficient q is 1. A_2 is a bivalent radical of a naphthalene group, and the cyclic structure of A_2 , or A_1 if it is cyclic, optionally can be heterocyclic, such as by replacement of one or more CH member(s) of the ring structure with N, O and/or S.--

--19. The optically active compound of claim 18, where each R substituent is independently selected as:



where R_4 represents a group as follows:



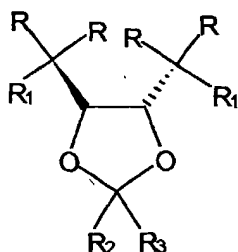
where n is an integer value of 0 or 1 or more, X is $-CH=CH-CH_2-$, or $-(CH_2)_m-$ where m is an integer value of 1, 2, 3, or more, Y is a radical of an aromatic hydrocarbon, an acyclic aliphatic hydrocarbon, or an alicyclic hydrocarbon, and Y can be a substituted or unsubstituted group, and Z and q have the same respective meanings as defined in claim 18.--

--20. The optically active compound of claim 19, where R_4 is an aryloxy radical, an

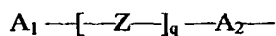
arylalkoxy radical, an arylalkyleneoxy, or an arylalkenyleneoxy radical.--

--21. (4R,5R)-2,2-dimethyl- $\alpha,\alpha,\alpha',\alpha'$ -tetrakis[6-(benzyloxy)naphth-2-yl]-1,3-dioxolane-4,5-dimethanol.--

--22. A liquid crystalline mixture, comprising:
a liquid-crystalline base having liquid crystalline properties;
at least one optically active compound of the formula:



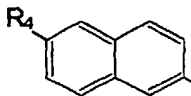
where the R_2 and R_3 groups are methyl, another lower alkyl group or an aryl or biaryl unit while the R_1 groups independently each are a hydroxyl, alkoxyl, aryloxy, or arylalkoxy group, the R groups each represent a group as follows:



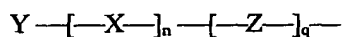
where A_1 is an aromatic group, an acyclic aliphatic group, or an alicyclic group, and A_1 can be a substituted or unsubstituted group, Z is a group selected from $-O-$, $-OCO-$, or $-S-$, and the coefficient q is 0 or 1. Z may also be $(CH_2)_nO$ where the coefficient n is 0 to 5 and the coefficient q is 1. A_2 is a bivalent radical of a naphthalene group, and the cyclic structure of A_2 , or A_1 if it is cyclic, optionally can be heterocyclic, such as by replacement of one or more CH member(s) of the ring structure with N, O and/or S. --

--23. The liquid crystalline mixture of claim 22, where each R substituent is independently

selected as:



where R₄ represents a group as follows:



where n is an integer value of 0 or 1 or more, X is $-\text{CH}=\text{CH}-\text{CH}_2-$, or $-(\text{CH}_2)_m-$ where m is an integer value of 1, 2, 3, or more, Y is a radical of an aromatic hydrocarbon, an acyclic aliphatic hydrocarbon, or an alicyclic hydrocarbon, and Y can be a substituted or unsubstituted group, and Z and q have the same respective meanings as defined in claim 18.--

--24. The liquid crystalline mixture of claim 23, where R₄ is an aryloxy radical, an arylalkoxy radical, an arylalkyleneoxy, or an arylalkenyleneoxy radical.--

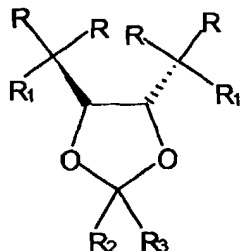
--25. The liquid crystalline mixture according to claim 22, further including an achiral non-liquid crystalline compound.--

--26. The liquid crystalline mixture according to claim 25, wherein the achiral non-liquid crystalline compound comprises R¹-C≡N, where R¹ represents an aliphatic group.--

--27. The liquid crystalline mixture according to claim 26, wherein R¹-C≡N comprises an alkylnitrile.--

--28. The liquid crystalline mixture according to claim 26, wherein R¹-C≡N comprises undecanenitrile.--

- 29. A liquid crystalline mixture, comprising:
a liquid-crystalline base having liquid crystalline properties;
at least one optically active compound of the formula (4R,5R)-2,2-dimethyl- $\alpha,\alpha,\alpha',\alpha'$ -tetrakis[6-(benzyloxy)naphth-2-yl]-1,3-dioxolane-4,5-dimethanol.--
- 30. The liquid crystalline mixture according to claim 29, further including an achiral non-liquid crystalline compound.--
- 31. The liquid crystalline mixture according to claim 30, wherein the achiral non-liquid crystalline compound comprises $R^1-C\equiv N$, where R^1 represents an aliphatic group.--
- 32. The liquid crystalline mixture according to claim 31, wherein $R^1-C\equiv N$ comprises an alkylnitrile.--
- 33. The liquid crystalline mixture according to claim 31, wherein $R^1-C\equiv N$ comprises undecanenitrile.--
- 34. An electro-optical cell comprising a layer including a liquid crystalline mixture sandwiched between two substrate means, and means for applying an electric potential to the substrate means, wherein the liquid crystalline mixture comprises:
a liquid-crystalline base having liquid crystalline properties;
at least one optically active compound of the formula:



where the R_2 and R_3 groups are methyl, another lower alkyl group or an aryl or biaryl unit while the R_1 groups independently each are a hydroxyl, alkoxyl, aryloxy, or arylalkoxy group, the R groups each represent a group as follows:



where A_1 is an aromatic group, an acyclic aliphatic group, or an alicyclic group, and A_1 can be a substituted or unsubstituted group, Z is a group selected from $-O-$, $-OCO-$, or $-S-$, and the coefficient q is 0 or 1. Z may also be $(CH_2)_nO$ where the coefficient n is 0 to 5 and the coefficient q is 1. A_2 is a bivalent radical of a naphthalene group, and the cyclic structure of A_2 , or A_1 if it is cyclic, optionally can be heterocyclic, such as by replacement of one or more CH member(s) of the ring structure with N , O and/or S .

--35. A light modulating apparatus comprising an electro-optical cell according to claim 34.--

--36. The light modulating apparatus according to claim 35, wherein the light modulating apparatus comprises a cholesteric display.--

--37. An electro-optical cell comprising a layer including a liquid crystalline mixture sandwiched between two substrate means, and means for applying an electric potential to the substrate means, wherein the liquid crystalline mixture, comprises:

a liquid-crystalline base having liquid crystalline properties;

at least one optically active compound of the formula (4R,5R)-2,2-dimethyl- $\alpha,\alpha,\alpha',\alpha'$ -tetrakis[6-(benzyloxy)naphth-2-yl]-1,3-dioxolane-4,5-dimethanol.--

--38. A light modulating apparatus comprising an electro-optical cell according to claim 37.--

--39. The light modulating apparatus according to claim 38, wherein the light modulating apparatus comprises a cholesteric display.--

--40. An electro-optical cell comprising:
a layer comprising:
at least 70 weight percent (wt%) nematic host mixture; and
at least about 2 wt% (4R,5R)-2,2-dimethyl- $\alpha,\alpha,\alpha',\alpha'$ -tetrakis[6-(benzyloxy)naphth-2-yl]-1,3-dioxolane-4,5-dimethanol;
first and second substrates disposed above and below, respectively, the layer; and
first and second conductors physically coupled to the first and second substrates, respectively, which permit an electrical potential to be applied across the layer.--

--41. The electro-optical cell as recited in claim 40, wherein the layer further comprises about 2-6 wt% achiral material.--

--42. The electro-optical cell as recited in claim 40, wherein the layer further comprises a chiral material different from (4R,5R)-2,2-dimethyl- $\alpha,\alpha,\alpha',\alpha'$ -tetrakis[6-(benzyloxy)naphth-2-yl]-1,3-dioxolane-4,5-dimethanol and having an opposite twist sense.--

--43. A light modulating apparatus comprising an electro-optical cell according to claims 40.--

--44. The light modulating apparatus according to claim 43, wherein the light-modulating apparatus comprises a cholesteric display having a temperature independent reflective wavelength.--

REMARKS

Claims 18-44 are pending in the application as a result of the instant Amendment. It is respectfully submitted that claims 1-17 were cancelled in favor of claims 18-44 to put the claims into the form preferred in U.S. practice; the new claims do not add new matter to the instant application.

It is respectfully submitted that the Preliminary Amendment places the above-identified application in better condition for initial examination.

A clean copy of claims 18-44 is provided in the attached Appendix.

If any points remain in issue which the Examiner feels may best be resolved through a personal or telephone interview, the Examiner is kindly requested to contact the undersigned at the telephone number listed below.

Respectfully submitted,



Raymond H. J. Powell, Jr.

Reg. No. 34,231

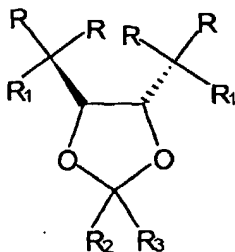
Westerlund & Powell, P.C.
122 N. Alfred Street
Alexandria, Virginia 22314-3011
Tel: (703) 706-5862
Fax: (703) 706-5860

Date: September 24, 2001

Attorney Docket No.: KD-01-004US

APPENDIX

18. An optically active compound of the formula:

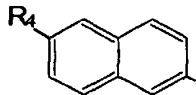


where the R_2 and R_3 groups are methyl, another lower alkyl group or an aryl or biaryl unit while the R_1 groups independently each are a hydroxyl, alkoxyl, aryloxy, or arylalkoxy group, the R groups each represent a group as follows:

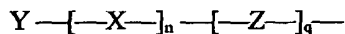


where A_1 is an aromatic group, an acyclic aliphatic group, or an alicyclic group, and A_1 can be a substituted or unsubstituted group, Z is a group selected from $-O-$, $-OCO-$, or $-S-$, and the coefficient q is 0 or 1. Z may also be $(CH_2)_nO$ where the coefficient n is 0 to 5 and the coefficient q is 1. A_2 is a bivalent radical of a naphthalene group, and the cyclic structure of A_2 , or A_1 if it is cyclic, optionally can be heterocyclic, such as by replacement of one or more CH member(s) of the ring structure with N, O and/or S.

19. The optically active compound of claim 18, where each R substituent is independently selected as:



where R_4 represents a group as follows:

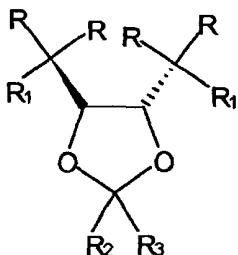


where n is an integer value of 0 or 1 or more, X is $-\text{CH}=\text{CH}-\text{CH}_2-$, or $-(\text{CH}_2)_m-$ where m is an integer value of 1, 2, 3, or more, Y is a radical of an aromatic hydrocarbon, an acyclic aliphatic hydrocarbon, or an alicyclic hydrocarbon, and Y can be a substituted or unsubstituted group, and Z and q have the same respective meanings as defined in claim 18.

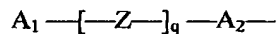
20. The optically active compound of claim 19, where R_4 is an aryloxy radical, an arylalkoxy radical, an arylalkyleneoxy, or an arylalkyleneoxy radical.

21. (4R,5R)-2,2-dimethyl- $\alpha,\alpha,\alpha',\alpha'$ -tetrakis[6-(benzyloxy)naphth-2-yl]-1,3-dioxolane-4,5-dimethanol.

22. A liquid crystalline mixture, comprising:
a liquid-crystalline base having liquid crystalline properties;
at least one optically active compound of the formula:

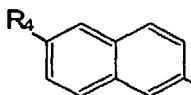


where the R_2 and R_3 groups are methyl, another lower alkyl group or an aryl or biaryl unit while the R_1 groups independently each are a hydroxyl, alkoxyl, aryloxy, or arylalkoxy group, the R groups each represent a group as follows:

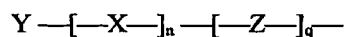


where A_1 is an aromatic group, an acyclic aliphatic group, or an alicyclic group, and A_1 can be a substituted or unsubstituted group, Z is a group selected from -O-, -OCO-, or -S-, and the coefficient q is 0 or 1. Z may also be $(CH_2)_nO$ where the coefficient n is 0 to 5 and the coefficient q is 1. A_2 is a bivalent radical of a naphthalene group, and the cyclic structure of A_2 , or A_1 if it is cyclic, optionally can be heterocyclic, such as by replacement of one or more CH member(s) of the ring structure with N, O and/or S.

23. The liquid crystalline mixture of claim 22, where each R substituent is independently selected as:



where R_4 represents a group as follows:



where n is an integer value of 0 or 1 or more, X is $-CH=CH-CH_2-$, or $-(CH_2)_m-$ where m is an integer value of 1, 2, 3, or more, Y is a radical of an aromatic hydrocarbon, an acyclic aliphatic hydrocarbon, or an alicyclic hydrocarbon, and Y can be a substituted or unsubstituted group, and Z and q have the same respective meanings as defined in claim 18.

24. The liquid crystalline mixture of claim 23, where R_4 is an aryloxy radical, an arylalkoxy radical, an arylalkyleneoxy, or an arylalkenyleneoxy radical.

25. The liquid crystalline mixture according to claim 22, further including an achiral non-liquid crystalline compound.

26. The liquid crystalline mixture according to claim 25, wherein the achiral non-liquid crystalline compound comprises $R^1-C\equiv N$, where R^1 represents an aliphatic group.

27. The liquid crystalline mixture according to claim 26, wherein $R^1-C\equiv N$ comprises an alkynitrile.

28. The liquid crystalline mixture according to claim 26, wherein $R^1-C\equiv N$ comprises undecanenitrile.

29. A liquid crystalline mixture, comprising:
a liquid-crystalline base having liquid crystalline properties;
at least one optically active compound of the formula (4R,5R)-2,2-dimethyl- $\alpha,\alpha,\alpha',\alpha'$ -tetrakis[6-(benzyloxy)naphth-2-yl]-1,3-dioxolane-4,5-dimethanol.

30. The liquid crystalline mixture according to claim 29, further including an achiral non-liquid crystalline compound.

31. The liquid crystalline mixture according to claim 30, wherein the achiral non-liquid crystalline compound comprises $R^1-C\equiv N$, where R^1 represents an aliphatic group.

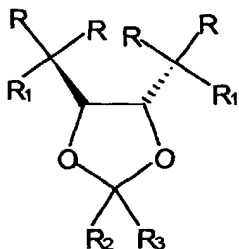
32. The liquid crystalline mixture according to claim 31, wherein $R^1-C\equiv N$ comprises an

alkylnitrile.

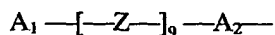
33. The liquid crystalline mixture according to claim 31, wherein $R^1-C\equiv N$ comprises undecanenitrile.

34. An electro-optical cell comprising a layer including a liquid crystalline mixture sandwiched between two substrate means, and means for applying an electric potential to the substrate means, wherein the liquid crystalline mixture comprises:

- a liquid-crystalline base having liquid crystalline properties;
- at least one optically active compound of the formula:



where the R_2 and R_3 groups are methyl, another lower alkyl group or an aryl or biaryl unit while the R_1 groups independently each are a hydroxyl, alkoxyl, aryloxy, or arylalkoxy group, the R groups each represent a group as follows:



where A_1 is an aromatic group, an acyclic aliphatic group, or an alicyclic group, and A_1 can be a substituted or unsubstituted group, Z is a group selected from $-O-$, $-OCO-$, or $-S-$, and the coefficient q is 0 or 1. Z may also be $(CH_2)_nO$ where the coefficient n is 0 to 5 and the coefficient q is 1. A_2 is a bivalent radical of a naphthalene group, and the cyclic structure of A_2 , or A_1 if it is cyclic, optionally can be heterocyclic, such as by replacement of one or more CH member(s) of the ring structure with

N, O and/or S.

35. A light modulating apparatus comprising an electro-optical cell according to claim 34.

36. The light modulating apparatus according to claim 35, wherein the light modulating apparatus comprises a cholesteric display.

37. An electro-optical cell comprising a layer including a liquid crystalline mixture sandwiched between two substrate means, and means for applying an electric potential to the substrate means, wherein the liquid crystalline mixture, comprises:

a liquid-crystalline base having liquid crystalline properties;

at least one optically active compound of the formula (4R,5R)-2,2-dimethyl- $\alpha,\alpha,\alpha',\alpha'$ -tetrakis[6-(benzyloxy)naphth-2-yl]-1,3-dioxolane-4,5-dimethanol.

38. A light modulating apparatus comprising an electro-optical cell according to claim 37.

39. The light modulating apparatus according to claim 38, wherein the light modulating apparatus comprises a cholesteric display.

40. An electro-optical cell comprising:

a layer comprising:

at least 70 weight percent (wt%) nematic host mixture; and

at least about 2 wt% (4R,5R)-2,2-dimethyl- $\alpha,\alpha,\alpha',\alpha'$ -tetrakis[6-(benzyloxy)naphth-2-yl]-1,3-dioxolane-4,5-dimethanol;

first and second substrates disposed above and below, respectively, the layer; and

first and second conductors physically coupled to the first and second substrates, respectively, which permit an electrical potential to be applied across the layer.

41. The electro-optical cell as recited in claim 40, wherein the layer further comprises about 2-6 wt% achiral material.

42. The electro-optical cell as recited in claim 40, wherein the layer further comprises a chiral material different from (4R,5R)-2,2-dimethyl- $\alpha,\alpha',\alpha',\alpha'$ -tetrakis[6-(benzyloxy)naphth-2-yl]-1,3-dioxolane-4,5-dimethanol and having an opposite twist sense.

43. A light modulating apparatus comprising an electro-optical cell according to claims 40.

44. The light modulating apparatus according to claim 43, wherein the light-modulating apparatus comprises a cholesteric display having a temperature independent reflective wavelength.

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